

Department of Energy

Safeguards and Security Program Summary

Mission

This summary of security estimates for the Department of Energy consolidates the functional data previously captured as a crosscut. Details of the field safeguards and security (S&S) budgets, are found in the program budget justifications for each of the following appropriations: Weapons Activities for the National Nuclear Security Administration (NNSA), Defense Environmental Restoration and Waste Management, Defense Facilities Closure Projects, and Science. Field S&S funding specifically identifies activities previously funded from overhead accounts at the national laboratories and other facilities. These S&S funds are managed exclusively by the line program organizations, not the Office of Security and Emergency Operations (whose primary function relating to these funds has evolved into one of compiling the programs individual S&S budgets and reviewing them for conformance with overall DOE security policies.

Program Overview

The direct funded S&S budget allows high visibility for S&S issues throughout the complex, and supports prioritization of functions and the flexibility to apply resources to ensure that critical functions and activities are met in an effective and efficient manner within each S&S decision unit. The Department submitted an FY 2001 S&S Budget Amendment to direct fund S&S expenditures to allow improved management, direction, tracking and monitoring of security costs Department wide. Congress agreed with this approach in the FY 2001 Energy and Water Development Appropriation. Funds were appropriated to the line organizations.

Significant Accomplishments and Program Shifts

Prior to FY 2001, Safeguards and Security (S&S) activities were funded from overhead accounts at the national laboratories and other facilities. In FY 2001 the Department submitted a budget amendment to direct fund the Security budget throughout the complex under the SO organization. Congress decided to direct fund the security budgets in the program budgets for Defense Programs, Environmental Management, and Science. In the conference report language for those program offices, the language is clear that those programs have ultimate responsibility for execution of their budget as line management. The result is that the Department has moved from a virtually invisible security budget (where security was funded from overhead accounts) to a direct line in individual program budgets. The SO role has evolved into one of compiling the programs individual safeguards and security budgets and reviewing them for conformance with overall DOE security policies.

- # Budget Structure Changes - as we execute the FY 2001 budget and gain insight into the level of information required by program management, there may be further modifications to aggregate the level of detail and definitions of the budget structure presented in the FY 2002 Request. The program elements are currently under review in coordination with the lead program offices, these elements will continue to evolve as we gain experience in executing a direct-funded S&S budget. This budget identifies funding for NNSA and DOE complex-wide protective forces, security systems, information and cyber security, personnel security, material control and accountability, and the headquarters directed policy and program guidance.

Major Issues

- # The FY 2001 direct-funded budgets for safeguards and security identified critical shortfalls through the Department's Programmatic Adverse Impact Notification (PAIN) process. Reprogramming action will be proposed to address these shortfalls to ensure S&S goals are adequately met.

Budget Structure

In FY 2001, detailed Budget and Reporting codes were created to capture Field Security activities being conducted by the new direct funded safeguards and security (S&S) decision units in the program accounts. This new accounting structure ensures consistency in budget execution across the four direct funded S&S lines in the appropriations accounts. The program elements of the new budget structure are as follows:

- # **Protective Forces** provide for the protection of Special Nuclear Materials, information, employees, and government property from theft, diversion, sabotage, and malicious destruction.
- # **Security Systems** address access control and interior/exterior intrusion detection systems.
- # **Information Security** ensures that individuals protect classified matter and sensitive unclassified matter; and establishes protection systems that require degrees of protection for each classification level.
- # **Cyber Security** assures effective and efficient protection of computer and technical resources.
- # **Personnel Security** supports activities associated with the clearance program.
- # **Material Control and Accountability** provides assurance that the nuclear materials used and/or stored at DOE facilities are properly protected and accounted for at all times.
- # **Program Management** assures a framework for efficient and effective security operations.

Safeguards and Security Program Summary

(dollars in thousands)

	FY 2000	FY 2001	FY 2002	\$ Change	% Change
Field Security					
Science S&S	42,569	41,569	55,412	13,843	33.3%
Weapons Activities S&S	393,788	394,664	448,881	54,217	13.7%
Defense Environmental Management S&S . . .	196,554	202,996	205,621	2,625	1.3%
Defense Facility Closure Projects S&S	60,653	54,651	45,902	-8,749	-16.0%
Subtotal, Field Security	693,564	693,880	755,816	61,225	8.8%
Nuclear Safeguards and Security	95,568	117,188	121,188	4,000	3.4%
Security Investigations	37,577	32,927	44,927	12,000	36.4%
Corporate Management Information Program	0	0	20,000	20,000	100.0%
Program Direction	82,919	80,422	83,135	2,713	3.4%
Subtotal, Safeguards and Security Program					
Summary	909,628	924,417	1,025,066	100,649	10.9%
Security charge against reimbursable work	-33,240	-39,289	-40,000	-711	1.8%
Offset to user organizations	-4,913	0	0	0	0.0%
Comparability for S&S general reduction . . .	-878	0	0	0	0.0%
Total, Safeguards and Security Program					
Summary	870,597	885,128	985,066	99,938	11.3%

Field Security by Program Element

(dollars in thousands)

	FY 2000	FY 2001	FY 2002
Field Security			
Protective Forces	368,466	374,661	388,563
Security Systems	87,076	83,255	94,322
Information Security	32,611	30,903	34,009
Cyber Security	51,765	46,749	79,465
Personnel Security	25,996	27,476	30,889
Material Control and Accountability	43,798	39,968	44,217
Program Management	69,108	70,158	74,751
Subtotal, Field Security	678,820	673,170	746,216
Construction	14,744	20,710	9,600
Total, Field Security	693,564	693,880	755,816
Security charge against reimbursable work	-33,240	-39,289	-39,288
Total, Field Security	660,324	654,591	716,528

Protective Forces

Program Mission

The mission of Protective Forces is to protect the Department's critical assets; which include nuclear weapons in DOE custody, nuclear weapons components, special nuclear materials, classified information and DOE facilities against a spectrum of threats, including terrorist activity, sabotage, espionage, theft, diversion, loss or unauthorized use. To accomplish this mission, protective forces must provide the salaries, wages, and benefits for personnel; have proper management and supervision; sufficient materials and supplies; a comprehensive, well-documented formal training program; and sufficient quantities of well maintained and logically deployed equipment and facilities to ensure effective performance of their assigned functions and tasks under normal and emergency conditions. Specifically, they must conduct access control and security response operations; provide for the physical protection of special nuclear material, classified matter and information, and government property; provide emergency response forces and tactical assistance during events as well as an on-scene security commander; perform random patrols; coordinate with local law enforcement and protective force elements aimed at providing effective response to emergency situations; conduct random prohibited article inspections; provide security alarm monitoring and dispatch services; collect and destroy classified matter; and constantly test the ability of the protective force to respond to myriad event scenarios. Additionally, protective forces are responsible for a Special Response Team capability to provide resolution of incidents that require effective and timely response with force options that exceed the capability of front line protective force personnel; including recapture and recovery operations involving the use of special weapons, systems, and tactics to effect recovery of special nuclear material under authorized control.

(dollars in thousands)

	FY 2000	FY 2001	FY 2002
Field Security			
Science S&S	22,609	22,151	26,540
Weapons Activities S&S	203,069	210,768	223,588
Defense Environmental Management S&S	109,779	109,178	112,176
Defense Facility Closure Projects S&S	33,009	32,564	26,259
Total, Field Security	368,466	374,661	388,563

Security Systems

Program Mission

The mission of Security Systems is the physical protection of security interests to include Special Nuclear Material and vital equipment, sensitive information, Departmental property and unclassified facilities. Included are buildings, fences, barriers, lighting, sensors, surveillance devices, entry control devices, access control systems, explosive detection systems, power systems, and other real property and hardware designed for or affecting security. This hardware and equipment is generally operated and used to support the protection of DOE property and national security interests.

In order to carry out this mission, the program supports DOE-wide efforts required to conduct performance assurance testing; ensures the security alarm systems are operational and functioning in accordance with applicable DOE Orders; maintains a barriers/secure storage/lock program to restrict, limit, delay or deny entry into a designated area; supports an entry control/access control program that provides positive identification of personnel requiring access to facilities and initial access to facilities in general, ensuring that persons entering/leaving facilities are authorized, and that they do not introduce prohibited articles into or remove Government property from departmental facilities. Estimates are provided for all access control administrative activity involving production, accountability and destruction of badges and firearms credentials, vital components and tamper-safe oversight provided by monitoring and responding to alarms, determining access and securing all alarmed structures on site and handling all radio communications for the protection of the facility. Additionally, provides support for security escorts of uncleared personnel involved in construction projects and/or special security support.

	(dollars in thousands)		
	FY 2000	FY 2001	FY 2002
Field Security			
Science S&S	3,725	4,773	6,956
Weapons Activities S&S	53,054	53,187	62,920
Defense Environmental Management S&S	26,176	23,914	23,377
Defense Facility Closure Projects S&S	4,121	1,381	1,069
Total, Field Security	87,076	83,255	94,322

Information Security

Program Mission

The mission of Information Security is to ensure that material and documents that may contain sensitive and classified information are accurately and consistently identified, properly reviewed for content, appropriately marked and protected from unauthorized disclosure and ultimately destroyed in an approved manner.

Under the Information Security, DOE provides plans, policies, procedures training and facilities to ensure that all employees are aware of the requirements and processes for the identification, review, classification, declassification, marking, protection and proper disposal of sensitive information and classified material. Operational security considerations are used to preclude inadvertent disclosure of classified information through unclassified indicators or information. Technical surveillance countermeasures support ensures that discussions of sensitive and classified information are not subject to inadvertent or intentional compromise.

	(dollars in thousands)		
	FY 2000	FY 2001	FY 2002
Field Security			
Science S&S	696	691	940
Weapons Activities S&S	19,877	18,533	22,094
Defense Environmental Management S&S	9,175	9,057	8,509
Defense Facility Closure Projects S&S	2,863	2,622	2,466
Total, Field Security	32,611	30,903	34,009

Cyber Security

Program Mission

The mission of Cyber Security is to ensure that sensitive and classified information that is electronically processed or transmitted is properly identified and protected, and that electronic systems are appropriately marked and protected through a process of planning, documenting, implementing and testing of protective strategies. This program provides planning, documenting, implementing, and continuously testing a cyber security program that supports classified automated information systems (AIS), communications security (COMSEC), TEMPEST and the maintenance of an appropriate level of infrastructure reliability and integrity, as well as an unclassified AIS program. Included are appropriate plans, policies and procedures, assessments, tests, monitoring and self assessments, certifications, user and administrator training and awareness.

	(dollars in thousands)		
	FY 2000	FY 2001	FY 2002
Field Security			
Science S&S	5,523	6,434	10,364
Weapons Activities S&S	36,501	28,844	58,000
Defense Environmental Management S&S	7,540	8,701	8,400
Defense Facility Closure Projects S&S	2,201	2,770	2,701
Total, Field Security	51,765	46,749	79,465

Personnel Security

Program Mission

The mission of Personnel Security is to support the clearance program (excludes Security Investigations), and ensure security sensitivity through security education and awareness for clearance holders. This is accomplished through security briefings such as the initial refresher and termination briefings, re-orientations, computer based training, special workshops and classes, publications, closed circuit television programs, signs, posters, and special event days. Support for the clearance program includes: (Personnel Security Assurance Program, adjudications, screening and analysis of personnel security cases for determining eligibility for access authorizations, administrative reviews, and handling of Freedom of Information and Privacy Act requests); security awareness and education; and operating and maintenance estimates associated with classified/unclassified visits and assignments by foreign nationals.

	(dollars in thousands)		
	FY 2000	FY 2001	FY 2002
Field Security			
Science S&S	1,733	1,701	2,202
Weapons Activities S&S	12,740	14,570	17,678
Defense Environmental Management S&S	8,147	8,603	8,868
Defense Facility Closure Projects S&S	3,376	2,602	2,141
Total, Field Security	25,996	27,476	30,889

Material Control and Accountability

Program Mission

The mission of Material Control and Accountability (MC&A) is to provide assurance that nuclear materials are properly controlled and accounted for at all times. MC&A provides evidence that all nuclear materials are accounted for appropriately and that theft, diversion, or operational loss has not occurred. MC&A also supports weapons production, nuclear nonproliferation, nuclear materials operations, facility closure, and nuclear criticality safety by determining and documenting the amounts of nuclear materials in weapons and packaged items, process streams, processing systems, and nuclear wastes. MC&A administration includes assessing the levels of protection, control, and accounting required for the types and quantities of materials at each facility; documenting facility plans for nuclear materials control and accounting; assigning authorities and responsibilities for MC&A functions; ensuring that facility MC&A personnel are trained and qualified to perform their responsibilities; establishing programs to report occurrences such as nuclear material theft, the loss of control or inability to account for nuclear materials, or evidence of malevolent acts; performance testing required program elements; and establishing facility programs to conduct and document internal assessments of their operations and MC&A programs.

	(dollars in thousands)		
	FY 2000	FY 2001	FY 2002
Field Security			
Science S&S	5,083	2,562	3,169
Weapons Activities S&S	21,822	20,129	24,094
Defense Environmental Management S&S	11,099	11,527	10,943
Defense Facility Closure Projects S&S	5,794	5,750	6,011
Total, Field Security	43,798	39,968	44,217

Program Management

Program Mission

The mission of Program Management is to develop a framework for the efficient and effective security operations. This includes the development and updating of S&S Plans, conducting vulnerability assessments to determine if assets are at risk, modeling to ensure the plans and operations meet mission objectives, identifying assets that need protection, developing local threat statements and participating in the S&S Quality panel process and security education. In addition, the mission is to ensure that plans are developed and revised accurately in accordance with DOE Orders, professional and technical training is administered and goals and objectives of Security and Emergency Operations are implemented complex wide.

Objectives include the development of S&S Plans or other applicable security plans, understanding and implementing S&S requirements, conducting surveys to determine if the S&S requirements have been implemented, understanding national and local threats and then developing a vulnerability analysis which indicates whether or not the S&S assets are at risk or not. It also includes participation in the Quality Panel process which raise issues from the field to the headquarter manager, and ensures that the staff are properly educated with respect to security matters.

(dollars in thousands)

	FY 2000	FY 2001	FY 2002
Field Security			
Science S&S	3,200	3,257	5,241
Weapons Activities S&S	31,981	27,923	30,907
Defense Environmental Management S&S	24,638	32,016	33,348
Defense Facility Closure Projects S&S	9,289	6,962	5,255
Total, Field Security	69,108	70,158	74,751